



The Commonwealth of Massachusetts
Department of the State Treasurer
One Ashburton Place
Boston, Massachusetts 02108-1608

Purchasing Department: Economic Empowerment Trust Fund

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File Title: Economic Empowerment Trust Form 990 and Form PC Tax Preparation Services RFQ 2016

Number: EETF Tax Prep RFQ 2016

Attachments: Attachment A. Bidder Response Questions
Attachment B. Cost Response
Attachment C: Mandatory Attachments

All responses and information submitted in response to this Request For Quotes ("RFQ") are subject to the Massachusetts Public Records Law, Massachusetts General Law, Chapter 66, Section 10, and Chapter 4, Section 7, Clause Twenty-Sixth. Any statements in responses that are inconsistent with these statutes are hereby rejected and will be disregarded.

Section I. Purpose

The Economic Empowerment Trust Fund ("EETF" or the "Trust Fund") seeks tax preparation services. The purpose of the Trust Fund is to encourage and facilitate economic empowerment throughout the Commonwealth. The Trust Fund expends funds to encourage and facilitate economic empowerment programs, which include but are not limited to: (i) establishing financial literacy programs; (ii) creating college savings accounts, in cooperation with the Massachusetts Educational Financing Authority; (iii) establishing college and career readiness programs, particularly in areas of science, technology, engineering and math; and (iv) supporting and promoting wage equality. The State Treasurer administers the Trust Fund in consultation with a 20-member board of trustees, of which the State Treasurer serves as chair.

The Trust Fund is recognized as a 501(c)(3) tax-exempt nonprofit organization pursuant to M.G.L. c. 10, § 35QQ, which authorized the Trust Fund to seek and obtain such recognition from the Internal Revenue Services

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(“IRS”). The IRS recognized the EETF as a 501(c)(3) organization via a determination letter issued in August 2012. The EETF’s Employer Identification Number is 38-3865038. Per its obligations as a tax-exempt organization, the Trust Fund must submit annual filings with the IRS and the Non-Profit Organizations/Public Charities Division of the Office of the Massachusetts Attorney General (“MA Public Charities Division”). The EETF’s total revenue and net assets for each of the past three fiscal year tax filings was less than \$50,000.00 per year. The EETF’s total revenue for fiscal year 2016 exceeds \$100,000.00. The EETF hereby requests quotes for Form 990 and Form PC tax preparation services based on the criteria outlined in this RFQ.

Section II. Specifications

This RFQ is open to all eligible and qualified entities. Where applicable, all of the terms and conditions contained in any of the Mandatory Attachments, as found in Attachment C, are incorporated herein and made part hereof and conflicting or additional terms, conditions or agreements in responses shall be considered to be superseded and void.

Section III. Description of Requested Services

The EETF is seeking the hourly rate and expected time commitment for each employee of Bidder for applicable Form 990 and Form PC tax preparation services or, alternatively, the total deliverable cost for applicable Form 990 and Form PC tax preparation services, along with identification of the Bidder’s employees that will provide such services. Applicable Form 990 and Form PC tax preparation services shall include, but may not be limited to, reviewing all records and information necessary in order to draft responses to, and compile documents for, the Trust Fund’s annual filings with the IRS and the MA Public Charities Division. The EETF is seeking the Bidder to draft the applicable Form 990 and Form PC for the Trust Fund’s annual filing for its 2015 – 2016 fiscal year. The EETF’s fiscal year runs July 1st – June 30th. The Bidder shall retain tax preparation reports and related working papers in compliance with GAAS and according to federal and state requirements. Tax preparation documents shall be made available to the EETF upon request by authorized representatives of the EETF.

Section IV. Submission Instructions

A Bidder wishing to respond to the RFQ must submit one original and three (3) USB memory sticks of the Bidder’s response and attachments in the same sealed package. All quotes must be received by **4:00 pm on August 3, 2016. Responses and attachments received after this deadline date and time will not be evaluated.** Submit all quotes to Jameel Moore, Esq. via mail at Office of the Treasurer and Receiver General, One Ashburton Place, 12th Floor, Boston, MA 02108-1608. **All cost and pricing information must be submitted in accordance with Attachment B and separately submitted from the rest of the Bidder’s RFQ response. Failure to separately submit cost information may result in the Bidder’s entire response to be disqualified.**

Be sure to include the following items in your response:

1. A signed cover letter in which the Bidder states that it agrees to the terms of this RFQ. The letter should include the Bidder’s affirmative agreement to provide the services as stated in this RFQ. The letter must contain the signature of a duly authorized officer or agent of the firm who has authority to legally bind the firm.

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2. Name and contact information for the primary contact of the Bidder.
3. The Bidder's response to the Bidder Response Questions posed in Attachment A.
4. The Bidder's response to the Cost Response contained in Attachment B. **The cost response must be submitted separately from the rest of the RFQ response. The cost response must be submitted in a separate sealed envelope.**
5. References from three (3) similar 501(c)(3) entities for which your company has provided similar services in the past three (3) years. For each entity, supply the name, telephone number, and email address of a person who may be contacted by EETF to provide a reference. The contact person must have direct knowledge of your firm's capabilities to provide these services.
6. A draft Statement of Work ("SOW") which should include the Bidder's proposed description of the services and responsibilities of the parties. **The Bidder's draft SOW should not include pricing; any pricing should instead be separately submitted with the cost response.**
7. Mandatory Attachments, as found in Attachment C:
 - a. Commonwealth Terms and Conditions;
 - b. Commonwealth Standard Contract;
 - c. Request for Taxpayer Identification Number and Certification (W-9);
 - d. Contractor Authorized Signatory Listing;
 - e. Certificate of Non-Collusion ;
 - f. Electronic Funds Transfer Form;
 - g. Treasury Supplier Diversity Program;
 - h. Invest in Massachusetts Plan; and
 - i. Certificate of Tax Compliance in Good Standing.
 - j. Legal and Other Requirements
 - k. Representations and Warranties

When responding to this RFQ, Bidders should take note of the following provisions:

- The EETF reserves the right to request additional information from Bidders responding to this request.
- The EETF reserves the right to reject any and all responses to this request, to waive any minor informality in a response, and to request clarification of information and/or supplementary information from any Bidder responding. The EETF reserves the right to amend or cancel this RFQ at any time.
- The EETF will not reimburse any Bidder for any costs associated with the preparation or submittal of any response to this request or for any travel and/or per diem incurred in any presentation of such responses.
- Based upon scores determined during the Phase II evaluations of Bidders' responses, it is within the full discretion of the Procurement Management Team ("PMT") to determine the cutoff for top scoring Bidders to move onto the next stage or review.

Section V. Evaluation Criteria

The RFQ evaluation process will be conducted in three (3) phases. Bids that are deemed to be complete per the Phase I review will be submitted to a PMT for additional review. The PMT will consist of staff from the Office of the State Treasurer and Receiver General ("Treasurer"). The PMT will make a recommendation to the Treasurer who will then accept or reject the recommendation. The Treasurer will make the final selection decision. Phase I, Phase II, and Phase III of this RFQ will be evaluated separately.

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The responses to this RFQ will be evaluated based on the criteria listed below.

Phase I: Completeness

Bidders' responses will be reviewed based on completeness of response, including mandatory attachments and compliance to submission criteria. Bids that do not comply with these components may be rejected and not proceed to Phase II. The EETF reserves the right to waive or permit cure of non-material errors or omissions.

Phase II: Bidder Qualifications, Experience, and Services – 75 points

Qualified bids, based on the Phase I review, will be considered for additional review in Phase II by the PMT. The Phase II review will be based on the Bidder's responses to the requested information specified in Attachment A and Attachment B and may include any oral presentation/interview as may be requested by the PMT; the PMT may adjust a Bidder's score based on any clarification of the Bidder's response at any such oral presentation/interview. The Phase II review will count for 75% of each Bidder's score.

The Phase II review will be separately evaluated and scored on the basis of the criteria listed below:

- 20% - Firm background and experience
- 20% - Personnel background and experience
- 20% - Form 990 and Form PC Tax Preparation services for EETF
- 5% - References
- 5% - Invest in Massachusetts. All responsive Bidders must submit with their bids an *Invest in Massachusetts Data Form* ("IMD Form"). See Attachment C.
- 5% - Treasury Supplier Diversity Program (TSDP). The Treasury requires all responsive Bidders to submit a *Treasury Supplier Diversity Program Plan Form* ("TSDP Plan Form") with its response. See Attachment C.

Phase III: Cost Proposal – 25 points

The Phase III cost will be evaluated in relationship to the Phase II review and scoring of Bidders' responses. The Phase II score will represent 75% and Cost will represent 25% of the Bidder's score in order to determine "best value." The successful bid will be determined based on the one that represents the "best value" overall and achieves the procurement goals.

- 25% - Cost Proposal: Cost will be evaluated based on the fee for services provided.
- 75% - Phase II Criteria: The total Phase II score will represent 75% of the Phase III score.

Recommendation: Based on the Phase I, II, and III reviews, the PMT will make a recommendation to the Treasurer. The Treasurer will then accept or reject the recommendation.

Section VI. Subcontractors

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- i. The selected Bidder will be considered the primary contractor and will assume total responsibility to provide the EETF with all Form 990 and Form PC Tax Preparation services needed by the EETF as detailed in this RFQ.
- ii. Subcontractors must be identified and the work they will perform must be defined.
- iii. If the Bidder decides to use the services of one or more subcontractors, the following applies: EETF reserves the right to select and approve subcontractors; the Bidder must agree to be responsible for the actions and quality of workmanship of the subcontractor(s).

Section VII. Statement of Work (SOW)

EETF shall require the successful Bidder to sign a SOW that includes all the requirements, terms of service, deliverables, and remedies agreed to and negotiated by both parties.

Section VIII. Changes in Contract

- i. During the course of the contract, EETF will, as requested or as necessary, issue clarifications on the services required. Should the successful Bidder believe that any clarification in fact constitutes a change to the contract, the Bidder shall so notify the EETF in form of a Change Order, identifying all proposed changes to the contract. However, the contract may only be modified by a written signature of an authorized representative of EETF.
- ii. During the course of the contract, either party may issue requests for changes in the contract. This shall take the form of a Change Order, which, if accepted by both parties, shall be executed as a written change to the contract that will thereby be amended to the extent of the change.

IX. Contract Amendments

EETF reserves the right to negotiate and execute contract amendments with the Bidder(s) that the EETF determines as necessary to result in the intent of this RFQ or to amend the specifications for necessary requirements. Negotiation would be with the successful Bidder(s) of this RFQ.

X. Event Calendar

Calendar Event	Timeframe (estimated)
Release Date of the RFQ	July 19, 2016
Deadline for Bidder Questions	July 26, 2016
Response to Bidder Questions Posted	August 2, 2016
Deadline for response to the RFQ	August 12, 2016 @ 4:00 pm
Date of Bidder Selection	September 2, 2016
Project Start Date	September 16, 2016

It is the EETF's intent to review the responses, review the references of all or a subset of the Bidders, and then select a winner Bidder or Bidders. The EETF reserves the right to interview any Bidder(s) at any point during this process.

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Section XI. Additional Terms

It is the intent of the EETF to select a Bidder or Bidders that are qualified to provide services with respect to each desired service. There can be no assurance that any Bidding firm chosen to provide a particular service will be chosen to provide other services described in this RFQ. The EETF reserves the right to contract with a single Bidder or multiple Bidders. The EETF may contract with one Bidder or multiple Bidders depending on the best interest of the EETF. The Treasurer and the PMT may select response(s) that demonstrate the “Best Value” overall.

The EETF reserves the right to modify the specifications identified in the RFQ at any time prior to the closing date. The EETF reserves the right to negotiate with the selected Bidder(s) as to any element of cost or performance, including without limitation, elements identified in the RFQ and/or the selected Bidder’s response in order to achieve the best value for the Commonwealth. The EETF reserves the right to request from any Bidder a “best and final offer” as to the Bidder’s proposal or cost proposal. The EETF reserves the right to procure some, all, or none of the services specified in this RFQ.

The EETF intends to enter into a one (1) year contract with the selected Bidder(s) for the services solicited in this RFQ. The EETF may, at its option, extend the contract for an additional year for a maximum contract term not exceeding two (2) years.

Any bidder that contacts, directly or indirectly, an employee of the Treasury or board member of the EETF in connection with this RFQ, other than as specified or required in this RFQ, is subject to disqualification.

Any inquiries about quote submissions should be directed to:

Jameel Moore, Esq. email: procurements@tre.state.ma.us